

RECORDS MANAGEMENT STAFF PAPER NUMBER 9

RECORDS

RETENTION PLAN

format sample

DECEMBER 1971

DIRECTORATE FOR XXX

RECORDS RETENTION PLAN

RETENTION PLAN FOR PERMANENT RECORDS

in the
ORGANIZATIONAL ELEMENTS
of the
DIRECTORATE FOR XXX

SAMPLE

PREPARED:

(SIGNATURE)
(DD/XXX) Records Management Officer

CONCURRENCE:

(SIGNATURE)
Deputy Director for XXX

REVIEWED:

(SIGNATURE)
Chief, Historical Staff

APPROVED:

(SIGNATURE)
(Agency) Records Administration Officer

13 Nov. 1969

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FOREWORD

PURPOSE

Retention Plans are prepared under the authority of the Federal Records Act of 1950 (P.L. 754, S. 505), which states:

"Section 506(a) - The head of each Federal Agency shall cause to be made and preserved records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Agency and designed to furnish information necessary to protect the legal and financial rights of the government and of persons directly affected by the Agency's activities."

The Retention Plan is part of a comprehensive records disposition program. It provides a framework for scheduling of records to be kept and is a guide in auditing the records activities of all organizational elements.

OBJECTIVE

The objective to be served by a records Retention Plan is the systematic and legal preservation and disposal of organization records. The objective of this Retention Plan is to designate those records of the Directorate for XXX which have enduring archival value, in order to ensure their preservation. Once these records are identified, the periodic disposal of all other records is simplified.

FORMAT

This Retention Plan is divided into four PARTS. PART I contains an outline of the missions and functions of DD/XXX components. PART II provides an identification of the types of DD/XXX records requiring permanent retention. PART III delineates the specific series, or groups of records to be preserved. Also, the responsible "Offices of Record" are identified. PART IV provides appraisal notes relative to reasons for keeping the records, and any instructions deemed necessary to insure their preservation or to aid future research.

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PART I

MISSIONS AND FUNCTIONS

OF

DD/XXX COMPONENTS

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DEPUTY DIRECTOR FOR XXX

The position of Deputy Director for XXX was established in XXX on _____ (Date).
The mission, functions, and organization for the executive office of the Deputy Director
for XXX, as set forth in HR-1, are as follow:

Mission:

Functions:

Organization:

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PART II

TYPES OF DD/XXX RECORDS

REQUIRING

PERMANENT RETENTION

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The types of records that document the mission, function, and organization of the Directorate for XXX, and should be retained permanently are listed under four general categories: I - Executive Direction, II - Program Management, III - Program Production, and IV - Operational Records. The various types of records under each category include:

CATEGORY I - Executive Direction of DD/XXX

I-A. Copies of public laws, executive orders, and directives from higher authority; interagency agreements; internal and external interpretations and rulings; appointment actions and delegations of continuing authority as well as revocations thereof that define or affect the DD/XXX mission and functions. Records created in preparation of the foregoing documents and those resulting from their receipt should be preserved.

I-B. Documentation of those relations with Congress, the White House, Executive Offices, and other Intelligence Agencies, both domestic and foreign, that concern the preparation, initiation, management, effectiveness, and alteration of the programs in which the DD/XXX participates. Included in these records will be briefing and presentation records along with 8" x 10" photo reproductions of any oversized charts, graphics, or visual aids used.

I-C. Documentation relative to the development and implementation of plans and policy basic to the organization, executive direction, and administration of the Directorate for XXX complex.

I-D. Agenda and minutes of meetings of inter-agency, intra-agency, and any extra-governmental boards, committees, or sub-committees in which the DD/XXX participates, unless one of the other participants in such meetings is formally assigned responsibility for maintaining such records. Included with these records is a record copy of any reports or documents created as a result of the meeting.

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CATEGORY II - Program Management of DD/XXX Activities

II - A. A master set of formal internal directives (including those superseded) for all DD/XXX components in Headquarters or the Field. These directives may be called regulations, notices, handbooks, orders, administrative instructions, memorandums, standard operating procedures, manuals, book dispatches, notice dispatches, bulletins, circulars, etc. These directives relate to such subjects as organization (including organization charts), administration, research, development, collection, dissemination, report writing, operations, and other functions of the DD/XXX. Also included among these are publications that contribute to an understanding of the mission, organization, and functions of the Directorate for XXX. The foregoing applies to all directives whether created at Headquarters or in the Field.

II - B. Agenda and minutes of staff meetings at the various hierarchical organizational levels of the DD/XXX components whether held at Headquarters or in the Field.

II - C. Special reports and records of studies, surveys, and audits of operations, management systems, evaluations of programs, and the like.

II - D. Correspondence files of the Deputy Director for XXX and his executive office, Office Directors, Staff Chiefs, field stations, and other heads of DD/XXX organizational components.

II - E. Subjective files relative to program planning, requirements, contracts, finance, project development and implementation, technical analysis and systems development, and program development and management.

II - F. Narrative and statistical reports of accomplishments at the Office, Division, Staff, and Branch or other major organizational level. This applies to reports created at Headquarters or in the field.

II - G. Narrative accounts of the history of the Deputy Director for XXX.

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